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# NASA Procedural Requirements

**COMPLIANCE IS MANDATORY**

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## **Subject: Agency Risk Management Procedural Requirements**

**Responsible Office: Office of Safety and Mission Assurance**

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## **Appendix C. Procurement/Contract Risk Management**

Procurement risks should be considered during acquisition formulation and implementation activities that include strategy development, development of requirements and solicitation instructions, evaluation of proposals, source selections, surveillance planning, and postaward contract monitoring. The various members of the acquisition team ensure that acquisition-related risks are identified and reassessed during each stage of the acquisition life cycle.

The Federal Acquisition Regulation (FAR) Parts 7 and 15 and NASA FAR Supplement Parts 1807 and 1815 provide requirements for acquisition/contract risk management. The good practices provided below complement these requirements.

### **C.1 Acquisition Strategy Development**

- a. For each acquisition, the organizational unit manager should ensure that risks are identified and analyzed in relation to the performance requirements of the acquisition, as part of the acquisition planning process.
- b. For each acquisition, the organizational unit manager should ensure that the project technical team is supported by personnel that have demonstrated expertise in the identification and analysis of various risk types.

*Note: The risk types should include those associated with safety, technical, cost, schedule, institutional/mission support, information technology, export control, security, and other applicable areas.*

- c. For each acquisition, the organizational unit manager should ensure that the project technical team provides a thorough discussion of the identified and analyzed risks for inclusion in written acquisition plans and/or Procurement Strategy Meeting documents.

d. For each acquisition, contracting officers should ensure that the identified and analyzed risks are documented in written acquisition plans and/or Procurement Strategy Meeting documents.

## C.2 Requirements Development

- a. The organizational unit manager should ensure that the project technical team addresses the risks identified in paragraph C.1.a, above, in the solicitation requirements.
- b. The organizational unit manager should ensure that the project technical team prepares a preliminary surveillance plan (referred to as a Quality Assurance Surveillance Plan (QASP)) for tracking risks.

*Note: The preliminary QASP, which the project office prepares in conjunction with the statement of work, reflects the Government's surveillance approach relative to the perceived risks. The preliminary QASP is written at a general rather than specific level because the risks will not be completely identified at that time.*

## C.3 Solicitation

- a. The organizational unit manager should ensure that the project technical team develops, and provides to the Contracting Officer, solicitation instructions for offerors to identify and describe risks and submit plans to address those risks and risks identified by the Government.
- b. The organizational unit manager should ensure that solicitation instructions require the offeror to describe the interface between their risk management process and the organizational unit's risk management process.
- c. The proposal evaluation team should develop, and include in the solicitation, criteria to evaluate the effectiveness of the offeror's risk management process (see NASA FAR Supplement 1815.305) based on the acquisition plan and solicitation.

## C.4 Source Selection

- a. As part of the evaluation of proposals, and consistent with the solicitation evaluation criteria, the proposal evaluation team should evaluate risk information associated with the proposal and present the evaluation results to the Source Selection official(s) to risk-inform the source selection decision.

## C.5 Post-Selection Surveillance and Contract Monitoring

- a. Organizational unit managers should periodically review the surveillance plan to ensure currency related to risks.

*Note: This final QASP should not be included in the contract but should be periodically reviewed to ensure its currency.*

- b. Organizational unit managers should ensure that acquisition-related risks are continuously managed using the CRM process.

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